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ABSTRACT

Research on school-based management approaches to educational reform, including effective schools research, is presented. Included are an introductory section on school-based improvement and its link to effective schools, by Anne T. Henderson; descriptive summaries of 53 references; a list of organizations to contact for further information; and a 2-page list of audio-visual materials on effective schools and resources. The research is divided into two topics: effective schools and school-based management. Each topic is subdivided by magazine/journal article and reports, studies and books. Each periodical entry contains the source (author, title of article, journal title, and related bibliographic data), a 2-3 paragraph summary and ordering information. The entries for the non-journal references contain the source (author, title, institutional source, date, length) along with a summary and ordering information including price. The introduction to this printout describes school-based management and improvement, the connection between effective schools and implementation involving a collaborative planning process, the Dade County plan, and 10 pitfalls to school-based improvement. (LMI)

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School Based Improvement and Effective Schools

A Perfect Match for Bottom-Up Reform

August 1990

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Preface

The National Committee for Citizens in Education has long supported the concept of school based management and improvement, for it represents, in our view, the most promising route to lasting reform of the public schools. As our name implies, we also firmly support parent and community involvement in that process, for the research is clear that when parents are involved, students do better in school and the schools they attend are more effective.

One of a series of publications NCCE has issued on SBI, this report is intended to present the best and most interesting of the research treating school based approaches to educational reform, including that on effective schools. It begins with an introductory article on SBI and its link to effective schools, then presents summaries of major studies and useful articles on SBI, effective schools, school improvement, and related topics, and finally lists organizations and resources for further contact.

This report is part of a project entitled Community Involvement In School Based Improvement, supported by the Charles Stewart Mott Foundation to create a special issue center for the network of Community Education Development Centers. Also supporting the project are the New World Foundation and the John D. and Catherine T. MacArthur Foundation. The interpretations and conclusions contained in this publication represent the views of the National Committee for Citizens in Education and not necessarily those of the Mott, New World, or MacArthur Foundations, their trustees, or officers. We deeply appreciate their support.

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Introduction

by Anne T. Henderson

Part One: School Based Management and Improvement

In recent years, the press has been full of articles about school based management and the promise it holds for lasting school reform. What is it? How does it work? Will it really make a difference?

In 1978, the National Committee for Citizens in Education held the first national symposium on School Based Management (SBM) and has been active in the field ever since, publishing materials, exchanging information, and training school districts. Our experience has lead us to conclude that **a bottom-up, school-by-school approach is by far the most promising strategy for rescuing our troubled public schools**.

School Based Management (SBM) proposes a profound change in the way most school districts are run: most decisions about how a school will operate should not be made by the school board or the central administration, but by the school itself.

This does not mean that the board and superintendent should resign; they will continue to set the basic policies and budget for the district. What is different? Each school will have much greater latitude in deciding how to implement board policy and to spend the funds intended for that school. For example, a district sets the salary schedule and the requirements for various staff positions; the schools may then decide what positions to fill and which qualified applicants to hire. One school might want to combine some grades under a team of teachers and hire an experienced teacher to supervise two younger ones; another school might prefer to stick to one relatively senior teacher per classroom.

Many districts around the country are experimenting with some variation of SBM. Here are some of their reasons:

1. People who are involved in making decisions tend to support those decisions. They also make better decisions if they are the ones who will be affected by them.

2. If the staff of a school are to be held accountable for results, they should share in making decisions about how the school should operate.

3. When decisions affecting a school are made by the people responsible for the school's program, the school can respond more effectively to the needs of its students and the community it serves.

From Management to Improvement

School Based Management is not new, but its introduction to this country is relatively recent. In its narrowest form, when only the professionals are involved, it can be a rather cut-and-dried redivision of administrative responsibility. At its most expansive, when parents and community members are included, it can lead to the dynamic reform of a school system.

Through the research on effective schools, we have learned that **a significant degree of autonomy at the local school level is essential for school improvement**. A carefully thought-through system of SBM will provide that autonomy. But to make the most of this opportunity, the school must use it for improvement. That is why NCCE decided to call its program School Based Improvement (SBI), to make clear that its purpose is to make the schools better, more effective places for children to learn.

The Keystone

In the late 1960's there was much excitement over the concept of decentralization. Break up the giant bureaucracies and create smaller administrative units that will be more responsive to the people. But the long-term effects of decentralization have been disappointing. It appears that one form of bureaucracy has been replaced by another.

Why would school based management be any different?

Because of the keystone: the school council. The council is the mechanism created at the school to make decisions. It is not another layer of bureaucracy, but a team of those who will be directly affected by the decisions they make.

Who sits on a school council? NCCE strongly recommends that all parts of the school community be represented: the principal, who is the instructional leader of the school, teachers, and parents. Others can be included as well: other school staff, students, and members of the local community.

Obviously, the selection process is critical. While there are many different practices, we recommend self-selection or election by a majority. Appointment by the principal or by organizations such as a faculty council or parent group can result in charges of favoritism or manipulation. However it is done, it should be openly, with candor and trust, and in consultation with all the various sub-groups within the school.

Ron Edmonds, the pioneer of effective schools research, once asked himself, "Why does bad social policy so often get made by good people?" His answer: because the people who make the policy feel accountable to their superiors, rather than to the people the policy affects. When those who make policy are of a different ethnic group and class than those who suffer the consequences, the problem is compounded. The school council concept ensures that the people who must live with a decision are the ones who make the decision.

How to Get Started

Whether the effort is district wide or in only a few schools, the superintendent must be the prime mover. Even if a principal initiates shared decision making at a school, there would be no decentralization of central office authority. Without the superintendent's support, the board's agreement, and some real policy and budgetary flexibility, it will not be School Based Improvement.

School principals are the next most important supporters. To embark on School Based Improvement, principals must be willing both to accept the additional responsibility that comes with making major new decisions, and to share that power with teachers, staff, and parents. SBI councils are not advisory, although they can give advice. To make a difference, they must function as governing boards.

If the superintendent and board are willing, and there are principals who want to participate, NCCE recommends building three major supports.

1. Memorandum of Agreement: This clarifies the lines of authority among the board, the superintendent, and the school, and defines the areas for which each is responsible. While much of the language can be boiler-plate, an agreement should be negotiated for each participating school.

2. Training: It is unrealistic to expect people who have never worked together to take on the task of running a school. They need training in how to arrive at decisions, how to run meetings so that all are included in the process, and how to develop a mission, set goals, define objectives, and implement a plan.

3. District Facilitators: The district staff must develop the capacity to work with and support school councils. We call people who fill this job "facilitators," because their role is to help the councils do their job without interfering with the substance of what the councils have decided to do. They play three major roles: process observer, advisor, and liaison to the district office. Training is also required do this properly.

Part Two: The Effective Schools Connection

One of the most encouraging developments in American education has been the discovery that there are schools where everyone, even children who are severely culturally disadvantaged, is learning at levels expected for the high-achieving middle class.

Why should that news create a shock-wave? Because for over twenty years, since the publication of the Coleman Report in 1966, the research has been telling us that education cannot overcome a disadvantaged background, that public schools contribute only minimally to the achievement and life-chances of their students. The American Dream of equality of opportunity through universal public education was at risk of being declared bankrupt.

Fortunately, some scholars believed that schools can make a difference. Lead by the late Ron Edmonds, they found schools in poor, minority neighborhoods where students were achieving as well as middle class students from wealthy areas.

While the research continues to identify major characteristics of these effective schools, many of us are now familiar with the ones most commonly accepted:

- **A clear and focused school mission**. Everyone understands what the school wants to accomplish. This mission is thoroughly reflected in what is actually taught.

- **High expectations**. Everyone in the school community expects all children to learn and all teachers to teach.

- **Strong instructional leadership**. The school has a primary instructional leader, usually the principal. This person sees what needs to be done and sees that it gets done.

- **Emphasis on acquiring the basic skills**. The school is focused first on teaching students to read, write, and compute.

- **Positive, orderly school environment**. Everyone feels safe, secure, and ready for learning while at school.

- **Frequent monitoring of student progress**. How well students are learning is checked frequently so that they do not fall behind.

- **Parent and community involvement**. Parents and neighbors of the school actively participate in the life of the school.

How Do We Get There?

The question we want to address is how do we get from here to there? Most programs for effective schools assume that ineffective schools will improve if they develop the characteristics listed above. This may well be true, but the question remains.

While the focus of this research -- the individual school -- is the proper one, we believe, for education reform, public schools are not isolated entities. They are part of what we call a "school system," and most of the decisions about how they are governed and organized are made by district level staff and boards of education, guided by laws and regulations made in state capitals and in Washington. The "reforms" that followed A Nation at Risk and the other blue-ribbon reports have not attempted, or even recognized the need, to change this situation.

Yet most of us involved in local school improvement efforts recognize that a school must be given significant autonomy before it can assume the responsibility for what students learn -- and don't learn. As John Chubb, a Senior Fellow at the Brookings Institution and author of a major new report, puts it:

The more control a school has over those aspects of its organization that affect its performance -- the articulation of its goals, the selection and management of its personnel, the specification of its policies -- the more likely a school is to exhibit the qualities that have been found to promote effectiveness.

While Chubb found that high performing schools looked like those described in the effective schools research, he also identified some other qualities that provide a clue to the transition problem:

1. Emphasis on academic excellence and challenging the students.

2. Greater clarity about goals and mission.

3. Strong, but not authoritarian, leadership with a vision and the ability to communicate and pursue it.

4. Democratic decision-making and collegial, cooperative relations between administrators and teaching staff.

5. A team style of organization rather than a hierarchy.

These characteristics are more likely to be found in a situation where there is strong parent involvement, and where the school enjoys autonomy from outside interference. In fact, Chubb sees autonomy as the essential nutrient which allows the other characteristics to grow. Improvement efforts that are based on

intervention and imposed mandates will backfire, he says, because the more schools are deprived of autonomy, the more their performance suffers.

Chubb concludes that the only workable answer is to remove education entirely to the private sector, through the education voucher. "The more extensive the administrative system of which the school is a part, the more likely external control, whatever its motivation, is likely to be imposed or tightened." Pessimistic that the current public education establishment will relax or relinquish its control, and uncertain how to achieve accountability without cumbersome enforcement procedures, he proposes complete decontrol and reliance on marketplace mechanisms for accountability.

Another Route

We believe that School Based Improvement can allow the proper balance between autonomy and accountability within the context of public education. A carefully negotiated and well designed system can provide the context that will nurture reform, if its focus is on constant renewal and improvement.

In public education as it is now governed, local schools have no structure for conducting an authoritative discourse on school improvement. The people who must live with the decisions are not the people who make the decisions. If the school community has no power to change the situation, why would they bother to figure out how to improve it?

Once a school assembles its team and negotiates a memorandum of agreement to clarify its authority with the central administration, it must arrange to begin the discourse on improvement. There are three prerequisites:

1. A common language. When a group of people with varying backgrounds and perspectives come together for the first time in a joint effort, they will have difficulty communicating. We strongly recommend beginning with training, using the vocabulary that research has developed on effective schools. The training should cover both group process (how to assure consensus decision-making, how to manage meetings, how to deal with conflict) and substance (needs assessment, curriculum, instructional methods, classroom organization).

2. A place to meet. The school improvement team should be school based. It should have its own meeting room that can be stocked with the necessary reference materials. This sends a strong message that the job is to maintain the discourse.

3. The time to meet. That this will be the most difficult of all shows how little we recognize the need for making improvement part of the job. The public has been reluctant to subsidize time that is not being spent directly with children.

Giving educators more authority should help to elevate their status from caretakers to professionals.

Next Step: Collaborative Planning

It is important at the outset to understand that school improvement is a process, not an event or a product. To nurture it, a group must be established at each school, with the responsibility to initiate and manage the process. This is, of course, the school council, although it can certainly be given another name. Although we have discussed the composition of councils, there are two important principles of selection we would like to recommend:

- Councils should be self-selected or elected by a majority of constituency members. While some teams have been appointed by principals or by a combination of organizations such as faculty councils, PTO's, or administrators, those that are selected by the membership of the constituencies represented have more legitimacy.

- Councils should be a microcosm of the school community: teachers, support staff, the principal, parents, residents, and students. There should also be a cross-section of grades, races, sex, and cultures.

Once the team is established and trained to do its job, we recommend the following steps:

1. Establish subcommittees. Give each one a correlate from the effective schools research, such as strong instructional leadership or frequent monitoring of student progress.

2. Write a mission statement. Bring all values, beliefs and opinions to the table. The purpose of this exercise is to determine where we are, where we want to be, and how to reduce the discrepancy between them. Without clarity about this, the group cannot proceed.

3. Conduct a needs assessment. Then compare it with your mission statement, following these guidelines:

- Use "disaggregated data," that is data that report results by race, sex and socioeconomic status. A school may, for example, average in the 60th percentile on reading achievement. But that figure does not reveal whether Blacks are doing as well as whites, or whether relative performance improves or declines as students get older.

- Look at the presence or absence of the effective school correlates. What needs work?

- Examine other information in the school's archives, such as dropout rates, school lunch participation, grade retention, disciplinary actions, etc.

- Select improvement goals. Pick no more than three. Then develop an action plan with a three-year time frame for each one.

This approach for improving schools empowers parents, teachers, and administrators in each building, by giving them the autonomy to do the job. Unlike voucher proposals of recent years, this proposal is based on cooperation, not competition. A school improvement process based on trust and respect is more likely to unlock the creative potential of those with a stake in public education.

Part Three: How SBI Can Work: A Look at Dade County

Dade County, Florida, fourth largest school district in the country, sprawls over Miami and a welter of smaller cities with names like Hialeah and Coral Gables. It serves more than 266,000 students, for many of whom English is a foreign language. It has a familiar catalogue of urban problems, compounded by its service as a major port of entry for Central and South Americans and Carribeans seeking a better life. There is a history of distrust between the AFT-affiliated teachers' union and the district administration. Overcrowding and high turnover plague nearly all its schools. If school-based governance can work here, it can probably go anywhere.

What is Happening?

A radical experiment, based on a theory like John Chubb's (see Part Two), that troubled schools will respond better to more autonomy than to more controls, has given participating schools unprecedented authority. There are two conditions:

1. The school must form a governing body, or cadre, composed of teachers, the principal, and other staff or community members, who will together decide how the school will be run.

2. Any changes they propose requiring waivers of board policy or the union contract must have measurable benefits for students as their primary aim.

The experiment, called "School Based Management/Shared Decision Making," is designed as a four year pilot program. The first year was spent presenting the concept to the schools, running an RFP competition, and providing three days of human relations training to the winning 32 schools. Before submitting a proposal, a school had to hold a vote for the total staff; only if two-thirds approved could the proposal go forward. Of 280 schools, just 57 applied for the initial competition.

At the time of our visit (1988), the experiment was in its second year. Plans made by the participating schools were being implemented after a period of negotiation and approval. Although the schools receive no additional funds, they have far

more leeway over how to spend the $3,000 per pupil allotment, and they report directly to the central administration, bypassing the district's regional management.

Two Project Schools

North Miami Elementary School is an older, spanish-style building, low and spread around a courtyard filled with tropical flowers. It was built to hold 440 students; it currently serves about 1100, in a series of temporary classroom additions. Over half the students are from minority families and a similar percentage qualifies for free or reduced price lunches. Once one of the lowest achieving schools in the city, students there now test at or above grade level.

"I find something good in everybody," says Pat Parham, the very dynamic Principal. When asked if she really knows every student in the school by name, as it would appear following her through the school, she said, "Well, if there are one or two I don't know, I just call them 'honey'."

What changes has her team been able to make? Before SBM, the school had staggered release times, so that younger children, dismissed at 2 PM, waited around until their older brothers and sisters were released at 3 o'clock. The school also did not offer art, music, or physical education, for they are not part of the standard district curriculum. After the school's governing team met, it proposed using funds earmarked for a vacant Assistant Principal position to hire certified resource teachers for art, music, and PE, to use the time freed up by the new teachers as a mid-day planning period for regular classroom teachers, and to extend the school day so that all students are released at 2:45. Everyone wins. The students get extra instruction, the families have a more orderly dismissal, and the teachers, in return for a slightly longer day, get a free planning period.

To do this, the school needed an exemption from board policy to forego an Assistant Principal in favor of resource teachers, and a waiver of union contract provisions setting the length of a teacher's work day. They got it. As Pat Parham said, "school based management has not changed my style, but it sure makes it easier to get things done."

At Norland Middle School, a large, concrete structure of recent vintage, the 6th, 7th, and 8th grade student population is 67 percent Black, 12 percent Hispanic, and 21 percent "other." John Gilbert, the Principal, is a large, genial man whose low-key manners enhance a commanding presence. "We are flying the airplane while we're building it," he comments when asked about school based management.

He works with a cadre calling itself the "faculty board," which meets one or two times a month to make all major decisions about how the school will be run and the budget spent. Recommendations are developed in subcommittees, which meet

more frequently. Changes they have made center on school organization and teacher review, such as assigning peer teachers to observe other teachers and extending the school work day. Both required waivers from board regulations and the union contract.

Norland closely adheres to the "middle school philosophy." Student teams of about 150-200 are subdivided into smaller groups which stay together throughout the school day. Teachers are assigned to the teams, so that all their students are from the same group. The faculty board felt it was important for each team to have a faculty "team leader" to coordinate overall team activities and to facilitate meetings of all the team teachers to discuss how individual students are doing. For the team leaders, they asked for extra pay, plus release from some instructional duties. The school day was also rearranged, so that students leave 15 minutes earlier and teachers have 40 minutes team planning time a day.

John Gilbert also says that SBM has not changed the collaborative way he runs his school, but he points out that there is a tremendous improvement in communication and morale. "Now when a decision needs to be made, we all make it together. I have a group to back me up. More necks are on the line than just mine."

The two principals are clearly enthusiastic about SBM. How do the teachers feel? Linda Lentin, a first grade teacher at North Miami, sums up very well, "SBM makes the classroom teacher really matter, so that she can have an impact on the system without having to leave the classroom and her kids."

How Did They Do It?

It is obvious that without the complete cooperation of then Superintendent Joseph A. Fernandez (and his predecessor, Leonard Britton, who initiated the program), and the AFT-affiliated Union President, Pat Tornillo, this program would never have left the runway. In fact, the program stems from an unprecedented agreement between the district and the union: to waive district regulations and contract provisions that block needed change, so long as the proposals for change are justified and come from principals and teachers together.

Creating the climate for such an agreement was a broader effort initiated by Albert Shanker, President of the AFT, to "professionalize" teaching, to break out of the factory model of trade unionism and the unproductive split between "labor" and "management" that comes with it. Even in districts where teacher unions wield great strength in contract negotiations and elections, the classroom teacher nevertheless has little to say about how a school is run. SBM puts decisions within their reach.
Each school's proposal is reviewed by a joint task force composed of district staff and union officials. With all the cards on one table, the trust level remains high.

In its guidelines for shared decision-making, the district lists many examples of areas that a school may address:

Staff development	Student discipline
Support services	Security procedures
Renovations	Instructional methods
Curriculum goals and content	Expenditures of funds
Staff morale	Peer review/evaluation
Staff selection and retention	Textbook selection
Student grouping and scheduling	Staff utilization
Special program implementation	Grading guidelines
Parent involvement	Business involvement
Instructional improvement	Paperwork requirements

"Other items as agreed to by the principal and faculty."

Clearly, Dade County is at the forefront of reform in school governance. It is too soon to tell whether the experiment will succeed, but clearly the foundation is sound. The national attention it has attracted should ensure that we can follow its progress.

Part Four: Ten Pitfalls

Based on NCCE's experience working with school districts over the past ten years, and some recent studies summarized in this report, these are our candidates for the ten most common pitfalls and some ideas for avoiding them.

1. All Aboard Please: Districts adopt SBI for many reasons. Whatever the impetus, it is vital that all the major players are behind the change and accurately informed about its goals and implications. This means the superintendent AND board, the district staff leadership, the teachers union, a core group of principals, and key parent and community organizations.

The same is true, of course, when SBI is implemented at the school level. The schools selected should be fully consulted in advance and eager to participate. Our own worst experiences have been in districts where the superintendent picked the schools that "really need help."

Without a broad base of support, SBI is open for sabotage: "This is so-and-so's big idea, and it will never work." As Bill Casey, superintendent of Brooklyn's Community School District #15, puts it, "Principals and teachers are open to change, but they resist being changed. If you want change, involve them in making it."

Once on board, they need to be continuously consulted and informed. Don't assume that initial backing guarantees continued support.

2. The Shared Decision-Making/School Based Management Confusion: Many superintendents and boards think that school based management consists only of principals sharing their authority with school councils. Shared Decision Making is not School Based Management. However, school based management does not work well without shared decision-making.

To change the way schools function, the district should model the behavior it expects from the schools. This is a two-step process: the district delegates authority to the schools, and the principals delegate authority to the councils.

3. The Project Mentality: School based management is a continuing process. As one Brooklyn principal said, "Many district staff regard SBI as a project with a limited life span rather than as a different way of doing things." Projects are add-ons, they come and go, creating a "this too shall pass" mindset.

Nothing is more important to the success of SBI than whether it is seen as a whole new job, or just another assignment. When a bilingual education specialist is assigned to act as facilitator to a couple of SBI schools, she still has to do her basic job. If an application for program funding is due in Washington, that task will loom larger than attending an SBI council meeting.

As long as SBI must compete with other district initiatives, it will be seen as one of many. Instead, new SBI positions that are either full time or have a few compatible responsibilities should be created. Some tasks will have to be phased out, or new positions added. In any case, SBI is a new way of relating to schools, and it must take priority.

4. Sacred Cows and Dirty Linen: New councils are often reluctant to change the core of the school; instead they chip at the edges. No one wants to be branded a "troublemaker," so an unspoken agreement is established about which issues are "off limits."

For example, everyone knows that "high expectations" are a key characteristic of effective schools. Yet most schools practice some form of tracking, where students are grouped by "ability." No school can raise the achievement of its bottom third without abolishing this practice; yet it is rarely questioned.

A related problem is that the "insiders" (i.e. principals and teachers) don't like to discuss the school's problems or deficiencies around "outsiders" like parents and community people, or even district staff.

Left alone, most councils will avoid difficult issues. By assigning trained facilitators, the district can support an objective process of "no fault" needs assessment. The trick is to create a culture where tough questions are welcomed and the focus is on improvement rather than who is to blame.

5. Repainting the Lunchroom Syndrome: For starters, councils often tackle something small and concrete like handbooks, discipline codes, and lunchroom problems. While this can be a productive exercise in learning to work together, councils may get stuck. If they develop a code that this is what they do, they may never address more substantive matters.

Unfortunately, this syndrome is more likely to develop when councils include parents and community members, because lay people are often uncomfortable challenging the professional judgment of educators on matters of curriculum and instruction. Lay participants need extra training and coaching to gain the self-confidence to approach other members as colleagues.
District staff and principals play a key leadership role in keeping councils focused on the improvement of teaching and learning, and on equity in student achievement.

6. Fuzzy Lines of Authority: Few people in a district are certain about what is legal or within guidelines -- would hiring interns violate the union contract; must every school have two assistant principals; must Chapter 1 be a pull-out program? Everyone is waiting for a green light, but no one knows how to operate the traffic signal.

Districts that are serious about empowering schools not only provide an authoritative source of technical information, they also set up a process for seeking waivers of board regulations, union contract provisions, even state requirements. If schools can make a convincing case that some current practice or procedure inhibits student achievement, the district should take steps to grant a waiver.

7. Big Man On Campus: Principals often worry that collaborating with a council will weaken their authority, that they will be considered "wimps" and not "in charge." How, they ask, can a school be governed by a committee?

In reality, however, principals tend to dominate councils. Principals often say that councils are a great way to improve communication, vent feelings, and make teachers feel that they are more involved. In other words, principals prefer to use councils for collaborative planning, not shared governance. Collaborative planning is NOT shared decision-making.

8. Great Ideas Come From Nowhere: It is tempting to think that once educators and parents are empowered to decide how schools will be run, all the great ideas they have stored up will be revealed. This is not always true. Remember the mice who lived in a maze for so long that once it was lifted they still ran around in the same patterns?

Councils need a lot of information and support. To provide it is the key role of the district staff who serve as facilitators, as well as those who are expert in

curriculum and staff development. Councils also profit immensely from having regular opportunities to share experiences and successful practices with other groups.

9. The New Elite: The idea behind school based management is as old as "no taxation without representation," and as basic: If schools are governed by councils that represent the communities they serve, they will be more responsive to their needs. The key word here is "represent."

All too often, council members feel accountable to each other, and to "higher-ups," not to their constituencies. When this happens, the council becomes just another part of the bureaucracy. As Bill Casey put it, "It is vital to involve people who have earned the trust and respect of their communities."

10. Time to Do It: One aspect of this pitfall is that it will take a lot longer than you think, and the other is that there will be a lot less time in which to do it. School districts, like people, may react to change with glacial speed. Plan on steady effort for at least five years before you expect to see tangible, permanent results. But take time to celebrate interim successes.

The second aspect is trickier. Everyone on these councils has other jobs and responsibilities. A persistent problem in districts where we have worked, for example, is coverage of teacher time. There are two ways to handle this. One is to provide resources to cover these costs, which are real and cannot be ignored. The other is to forego some other activities in order to make School Based Improvement a top priority.

A school district that surmounts these pitfalls will be rewarded with an effective process of School Based Improvement. As Margaret Mead said, "Never doubt that a small group of committed people can change the world; indeed it is the only thing that ever has."

This introduction was drawn from the following articles from NETWORK For Public Schools, Published by the National Committee for Citizens in Education:

1. "School Based Improvement: A Bottom-up Approach to Reform," by Carl Marburger and Anne Henderson, Vol. 13, No. 3, Winter Holiday 1987.

2. "SBI and Effective Schools: A Perfect Match," by Anne Henderson and Larry Lezotte, Vol. 13, No. 5, Spring 1988.

3. "School Based Management: A Big Change in Dade County," by Anne Henderson, Vol. 13, No. 6, Summer 1988.

4. "Ten Pitfalls of School Based Improvement," by Anne Henderson and Carl Marburger, Vol 15, No. 5, Spring 1990.

II. Magazine and Journal Articles on Effective Schools

SOURCE:

Anderson, Beverly, et al. "State Strategies to Support Local School Improvement." Knowledge: Creation, Diffusion, Utilization. Vol. 9, No. 1, Sept. 1987, pp. 42-86.

SUMMARY:

State education departments throughout the nation are actively helping districts and schools to implement research findings on effective schools, effective teaching, and change. This study, funded by the National Institute of Education (NIE) and conducted by the Education Commission of the States (ECS), was organized around two key questions:

1. What are effective state school improvement activities?
2. Under what conditions do these strategies work effectively in schools?

The study did not evaluate any individual state programs but looked for successful commonalties across states and schools.

Ten state school improvement programs, which emphasized key concepts from the literature on school and classroom effectiveness were selected. The states implementing these programs varied with regard to population size, region, per capita personal income, and the degree of local versus centralized control. The study focused on four to seven schools in each state, which were successfully implementing the state program. These schools were from rural, suburban, and urban areas.

Two categories of variables affect successful state education department sponsored school improvement programs. One category included political and economic variables outside the State Education Agency (SEA). The other category was internal departmental factors, such as political support, collegial ventures with Local Education Agencies (LEA's), and the SEA structure and organization.

SOURCE:

Chrispeels, Janet, Sally Pollack, and Daniel Watson, "A Description of Factors and Implementation Strategies Used by Schools in Becoming Effective for All Students," San Diego County Office of Education. Presented at the Meeting of the American Educational Research Association, Washington, DC, April 1987.

SUMMARY:

In 1984, the San Diego County Office of Education began an effective schools program in several schools. As a result, some improved academically to the point that all subgroups of students sustained a high average level of achievement and earned the title "equity schools"; others did not. This study of ten schools, four of which were successful, explores the differences between the "equity" and "non-equity" schools. The equity schools met three major standards:

1) The overall performance of the students was above the comparison score band for similar students.

2) The students from the lowest socio-economic subgroup outperformed similar students in the district by the sixth grade.

3) The number of students scoring in the bottom quartile decreased, and the number in the top quartile increased. This paper explores the characteristics of the "equity" schools in terms of organizational factors, instructional change, and climate and culture.

In summary, the schoolwide focus based on informed need was the "driver" of the successful implementation strategies. Though both types of schools used frequent monitoring, the successful ones used the results to focus and modify instruction. The most significant climate change was in high expectation, which also served in making changes within the school, rather than blaming parents and community for low achievement. And the two implementation strategies that institutionalized beneficial changes were the shared decision-making and the communication/problem-solving processes. The final most significant characteristic was the strong instructional leadership and coordination.

HOW TO ORDER:

San Diego County Office of Education
6401 Linda Vista Road
San Diego, CA 92111

SOURCE:

Duttweiler, Patricia C. "A Practical School-Based Method for Improving the School Learning Climate." Spectrum Journal of School Research and Information (Educational Research Service), Vol. 4, No. 3, Summer 1986, pp. 18-22.

SUMMARY:

The Southwest Educational Developmental Laboratory (SEDL) in Austin, Texas, developed the Learning Climate Inventory after finding that an instrument which adequately measured the learning climate within a school did not exist.

This instrument measures a school's learning climate by checking the perceptions of administrators, students, staff and parents. Information generated by the inventory is not to be used for comparing schools, but rather as a diagnostic device which will aid in focusing the school community's energies on those areas that promote a positive learning climate. EDL found that the School Learning Climate Inventory is an easy instrument to use. It also is economical, since elaborate measuring devices or outside consultants are not required. Data collected by this inventory help the school staff to develop plans which address each school's own problems.

The School Learning Inventory is a tool which can help to provide information regarding the seven effective schools correlates. The faculty can then develop action plans that would address the identified deficits and improve the learning climate. School districts which are considering implementing school improvement programs must recognize that each school within the district is a complex social organization having certain values, attitudes and beliefs. It is therefore important that the school improvement efforts focus on the individual school as the unit for change. District administration can be very helpful by encouraging and supporting the efforts of the school faculty who are developing plans based upon their own analysis of their school's problems.

SOURCE:

Edmonds, Ronald, "Effective Schools for the Urban Poor," Educational Leadership, October 1979, p. 15-23.

SUMMARY:

This is an article which centers on the education of poor, urban children. The author supports his thesis that all children are educable with examinations of the results of various educational studies, including the 1976 Madden study, the 1977 Brookover and Lezotte study, and his own studies. From these results, he

identifies basic differences between effective, improving schools and ineffective, declining schools.

SOURCE:

ERIC Clearinghouse on Urban Education, "Teacher, Principal, and Parent Involvement in the Effective School," Digest, Number 38, December 1987.

SUMMARY:

This Digest outlines and summarizes the characteristics of three aspects of effective schools: teachers, principals, and parents.

Teachers - Good and extensive teacher-student interaction and classroom dynamics are crucial to effective learning. The research clearly indicates these three essential characteristics of effective teachers:

- High expectations
- Time-on-task
- Mastery learning to teach basic skills

Principals - A principal, as the instructional and managerial leader of the school, is considered essential to the creation and maintenance of an effective school atmosphere. A few effective principal characteristics are:

- High expectations
- Strong instructional leadership
- Creating a positive school climate

Parents - An effective school needs to communicate to parents what they are expected to do to support their child's efforts, and to identify a variety of ways in which parents can reinforce the school program. A number of environment factors play an important role in students' achievement or failure, including:

- Work habits and daily schedule of the family
- Available parental guidance, support, and assistance for a child's school - and homework
- Intellectual stimulation
- Language development
- Parents' academic aspirations and expectations for their children

HOW TO ORDER:

ERIC Clearinghouse on Urban Education
Institute for Urban and Minority Education
Box 40, Teachers College,
Columbia University
New York, NY 10027
(212) 678-3433

SOURCE:

Garvin, Dr. James, "Common Denominators in Effective Middle Schools," The Principals' Center Newsletter, Fall 1985, Harvard Graduate School of Education.

SUMMARY:

The conclusions in this paper are a result of the author's work as a site visitor to 22 middle-level schools in New England. Six factors are identified as critical to the effectiveness of education in the schools studied:

1. A clearly defined and articulated mission
2. Effective leadership
3. Student-centered teachers
4. Strong parent involvement
5. Ongoing goal development and evaluation
6. Quality of life

HOW TO ORDER:

The Principals' Center
Harvard Graduate School of Education
336 Gutman Library
6 Appian Way
Cambridge, MA 02138

SOURCE:

Lezotte, Lawrence W. and Beverly A. Bancroft, "Growing Use of Effective Schools Model for School Improvement," Educational Leadership, March 1985, pp. 23-27.

SUMMARY:

This article provides an update of the effective schools movement, from Ronald Edmonds' initial efforts in large, urban schools to the application of the concept to a wide variety of schools. It also summarizes some of the national, state, and university efforts to support school improvement programs utilizing the effective schools framework.

SOURCE:

Lezotte, Lawrence W. and Beverly A. Bancroft, "School Improvement Based on Effective Schools Research: A Promising Approach for Economically Disadvantaged and Minority Students," National Center for Effective Schools Research, April 1985, 23 pages.

SUMMARY:

This essay discussed the distinctive attributes of Programs of School Improvement based on Effective Schools' Research. These attributes provide a rationale for why this approach holds promise. The three attributes discussed are:

(1) Quality and Equity - an effective school must demonstrate that all children have the opportunity to experience quality education.

(2) Research Based - effective schools programs have taken their content and direction from three bodies of related research: effective staff development, effective organizational development, and effective planned change programs.

(3) Data Driven - local school instructional decision making is dependent on the weight of measurable or observable evidence.

The authors then enumerate and discuss five major premises which form the basis for a clear conceptual and operational definition of what constitutes an effective school:

(1) The primary function of schooling is teaching and learning.

(2) The primary basis for assessing the effectiveness of the school is in terms of students' outcomes.

(3) The way a local school district chooses to monitor student outcomes is indicative of the educational outcomes a district cares most about.

(4) An effective school is one which demonstrates both quality and equity in its program outcomes.

(5) Quality and equity are achieved and maintained only when the school improvement effort has been designed to accrue benefits for all students.

HOW TO ORDER:

Effective Schools Products
PO Box 476
Okemos, MI 48864
517/349-8841

SOURCE:

Mortimore, Peter and Pam Sammons, "New Evidence on Effective Elementary Schools," Educational Leadership, Vol. 45, No. 1, September 1987, pp. 4-8.

SUMMARY:

Most of the research on effective schools in the United Kingdom has focused on the secondary level. This study was conducted in elementary schools in England. The study began in September, 1980, when nearly 2000 seven-year-old students entered elementary school and concluded four years later when the same students completed elementary school (only four years in England) and transferred to the secondary school. These students were enrolled in a sample of 50 elementary schools. As a baseline, the researchers found that strong relationship exist between background factors (age, social class, sex, and race) and the students' attainment and development. However, even after controlling for these initial differences in entry level attainment, the researchers found that the particular school which a student attended contributed substantially to that student's progress and development.

Perhaps the most significant implication of this research is that it generally confirms the earlier studies of effective elementary schools in the U.S. It also gives us a more detailed description of some of the behaviors on the part of principals and teachers that seem to be associated with high levels of student attainment. Schools that are seeking to conduct a self-study and develop a school improvement plan will find this amplification useful.

Current research, including this study, clearly supports the notions of collaboration, teacher empowerment, site-based management, and decentralization and seems to raise serious questions regarding those approaches to school reform which mandate changes from the outside in or from the top down.

SOURCE:

Northwest Regional Education Laboratory, "Effective Schooling Practices: A Research Synthesis," Onward to Excellence: Making Schools More Effective, April 1984, Dr. Robert E. Blum, Director, 20 pages.

SUMMARY:

The effective schools research base identifies schooling practices and characteristics associated with measurable improvements in student achievement and excellence in student behavior. These "effective schooling practices" include a clearly defined curriculum; focused classroom instruction and management; firm, consistent discipline; close monitoring of student performance, and strong instructional leadership. Recommendations for school improvement are in the following three areas: classroom characteristics and practices, school characteristics and practices, and district characteristics and practices. The booklet ends with a useful bibliography.

HOW TO ORDER:

Dr. Robert E. Blum, Director
Goal Based Education Program
Northwest Regional Educational Laboratory
300 SW Sixth Avenue
Portland, OR 97204
503/248-6800

SOURCE:

Purkey, Stewart C. and Susan Degen, "Beyond Effective Schools to Good Schools: Some First Steps," R&D Perspectives by Stewart C. Purkey and Susan Degen, Center for Educational Policy and Management, University of Oregon, Spring 1985, 8 pp.

SUMMARY:

This article challenges the popular notion that school improvement is applicable and can only be gauged in the area of students' scores on standardized tests. It develops the idea of "good schools" which emphasize students' social and

leadership as well as academic skills. Thirteen characteristics of good schools are identified: school-site management, leadership, staff stability, curriculum articulation and organization, school-wide staff development, parental and community involvement and support, school-wide recognition of academic success, maximized learning time, district support, collaborative planning and collegial relationships, sense of community, clear goals and high expectations that are commonly shared, and order and discipline. The article ends with a series of steps which can be taken when formulating a school improvement program.

HOW TO ORDER:

R&D PERSPECTIVES
Center for Educational Policy and Management
College of Education
University of Oregon
Eugene, OR 97403
$0.35 per copy

SOURCE:

"Selected Topics Related to the Implementation of School Improvement Planning When Using the Effective Schools Research," Prepared by Beverly A. Bancroft. Bibliography for Participants, School Improvement Summer Institutes 1988, National Center for Effective Schools Research, 14 pages.

SUMMARY:

Topics in this list of references include:

Background of Effective Schools Research
Instructional Leadership
Opportunity to Learn/Time on Task Home/School Relations
High Expectations for Student Success
Clear and Focused Mission
Safe and Orderly Environment
School Improvement Programs
School Improvement Planning
Policy and Reform Issues
Effective Teaching
Evaluation of Programs and Processes

HOW TO ORDER:

Effective Schools Products
P.O. Box 476
Okemos, MI 48864
517/349-8841

III. Reports, Studies, and Books on Effective Schools

SOURCE:

Carney, Juanita and Janet Chrispeels, Schools and Communities Working Together: For Effective Schools and Stronger Communities, 1984, 201 pages, softcover, San Diego County Office of Education.

SUMMARY:

Learn how to set up and operate a successful school site council, one that can both improve your school and also serve the needs of the community. Based on partnerships at several California schools which combined features of the School Improvement Plan with concepts of Community Education. Valuable manual for all school-related councils.

Includes information on the characteristics of an effective school, how to determine a school's effectiveness, and steps to follow in a school improvement process.

HOW TO ORDER:

San Diego County Office of Education
6401 Linda Vista Road
San Diego, CA 92111
Price: $10.00

SOURCE:

Corcoran, Thomas and Barbara Hansen, The Quest for Excellence: Making Public Schools More Effective, New Jersey School Board Association, 1983, 40 pages (including an 8-page bibliography).

SUMMARY:

Research has demonstrated that public schools can be effective. This publication synthesizes the research which identifies the three critical factors in school effectiveness -- organization, climate and management. Also listed and summarized are the principles about effective teaching and effective classrooms. A separate chapter reviews the recent research on high schools and the relation between school and work. The report concludes with a brief discussion of the essential conditions for school improvement.

HOW TO ORDER:

New Jersey School Boards Association
315 West State Street
PO Box 909
Trenton, NJ 08605

SOURCE:

Davis, Gary A. and Margaret A. Thomas, Effective Schools and Effective Teachers. Allyn and Bacon, Boston, 1989.

SUMMARY:

This book was written for classroom teachers and administrators to provide an introduction to the major findings of effective- schooling research. It focuses on the characteristics of schools that are related to higher levels of student achievement, traits of principals who contribute to school success, and teacher characteristics and classroom behaviors that produce high achievement. The book is heavily documented with relevant research intended to assist the educational practitioner. The book is organized around four main topics:

* Characteristics of effective schools, based on the work of Ron Edmonds.

* Characteristics of effective principals, leadership that develops a productive and satisfying work environment for teachers and promotes growth in student learning.

* Characteristics of effective teachers, the most crucial factor in the classroom being "academic engagement," or time on task.

* Effective classroom management, which aims at increasing time on task and reducing disruptions. This is achieved by establishing positive expectations, clear rules, communication to the students that the teacher knows what is going on in the classroom, and responses to misbehavior.

These four topics are not isolated, but rather interrelate and overlap. They are most enhanced when combined with an approach to supervision that includes peer and administrator observation and coaching.

SOURCE:

Effective Schools Products, Research Abstracts, Volumes 1, 1986-87; Volume 2, 1987-88; Volume 3, 1988-89; Volume 4, 1989-90.

SUMMARY:

The Research Abstracts series provides educators and practitioners with a way to remain current with the research being conducted on effective schools. A subscriber to Research Abstracts receives 8 one page abstracts each month during the school year. Each abstract summarizes the author's methodology, findings, and implications for school improvement. The abstracts are grouped by topics, which include:

Assessment of Student Progress
Effective Instruction
Effective Schools
High Expectations for Success
Home/School Relations
Instructional Leadership
School Improvement
School Mission and School Culture

HOW TO ORDER:

Effective Schools Products
P.O. Box 476
Okemos, MI 48864
Cost: $119.00 for each annual Volume

SOURCE:

ERIC Clearinghouse on Educational Management, Leadership of Effective Schools: A Collection of ERIC Materials Selected for Relevance, "Value Search" series, 50 pages, 1987.

SUMMARY:

This Value Search consists of annotations of 81 articles and reports which were published in ERIC's two reference catalogs: RESOURCES IN EDUCATION (RIE) and CURRENT INDEX TO JOURNALS IN EDUCATION (CIJE). A computer search of the ERIC database was conducted using the following descriptors and time period: School Effectiveness and All administrator-related terms January 1983 - June 1987

The bibliography is divided into two sections: Journal Articles and Research Reports. Included are ERIC numbers and information on how to obtain the documents.

HOW TO ORDER:

ERIC Clearinghouse on Educational Management
College of Education
University of Oregon
Eugene, OR 97403
Price: $7.50 (A $2.00 handling charge is added to all billed orders)

SOURCE:

Griswold, Philip A., Kathleen J. Cotton, and Joe B. Hansen, Effective Compensatory Education Source Book Volume 1: A Review of Effective Educational Practices. U.S. Government Printing Office.

SUMMARY:

In April, 1985, Secretary of Education William Bennett announced the selection of 116 outstanding Chapter 1 projects. These projects were selected because they included procedures and practices which exemplified the 13 principal attributes of effective schools and programs, as discussed in the school improvement research literature. This volume describes and illustrates those elements identified as essential features of effective schooling.

The researchers have identified seven organizational attributes and six instructional factors which appeared to be strong in the Chapter 1 project schools judged to be "outstanding." The authors also discussed the improvement process itself, and concluded that: (1) change takes place over time, (2) initial stages of change involve anxiety and confusion, and (3) ongoing technical and psychological support are important to cope with the change-induced anxiety.

This report demonstrates that the attributes that describe effective schools generally are also valid for describing effective Chapter 1 schools and programs. It may also prove useful in schools attempting to bring about change, to assist teachers and administrators in identifying the critical factors for effective teaching and determining whether their school or program is strong in those areas or could be improved.

SOURCE:

Institute for Responsive Education, A Citizen's Notebook For Effective Schools, compiled by Ross Zerchykov, 1984, 501 pages, looseleaf notebook.

SUMMARY:

This Notebook is a collection of materials intended to help citizens who are about to become active (or more active) in working to make their schools more effective for all children. Its organization and contents are geared to three kinds of information needs facing such activists: the need to know about the research **Evidence** on what works in instruction; the need to have **Examples** of school improvement efforts which translate the lessons of the research into practice; and the need for **Resources** in the form of materials and how-to guides and organizations and people with experience and skills in school improvement.

A summary of the "Effective Schools" research is included as well as the implications for citizen participation. In addition to dozens of "Research Briefs" summarizing major studies on effective schools and school improvement, the Citizen's Notebook contains profiles of 47 local school improvement projects, reading lists on a number of related topics and "resource abstracts," organizations and people who may be contacted for further information and assistance.

HOW TO ORDER:

Institute for Responsive Education
605 Commonwealth Avenue
Boston, MA 02215
$13.00 for ECONOMY edition, $20.00 for DELUXE edition.

SOURCE:

Kyle, Regina M. J., Editor, Reaching for Excellence: An Effective Schools Sourcebook, E.H. White & Company, 244 pages, 1985.

SUMMARY:

This report is developed from papers prepared by researchers in the field, commissioned by the National Institute of Education. Each paper presents a concise summary of the research base on the topic as well as a directory of programs around the country which are promoting effective practices at the building and district levels.

The report is divided into two parts: (I) The Knowledge Base and Its Implications for Practice and (II) A Directory of Programs Promoting Effective Practices at the

Classroom and Building Levels. An extensive bibliography is also included. Chapters in Part I are:

Effective Elementary Classroom Practices
Effective Elementary Schools
Effective Secondary Classroom Practices
Effective Secondary Schools
The Assessment of School Effectiveness
District Level Policies and Practices
State Level Policies and Practices

Thirty-nine programs are described and summarized in Part II. In addition to the program overview, the descriptions include costs, evaluation data, list of contact persons, and materials available on the program.

HOW TO ORDER:

National Institute of Education
U.S. Department of Education
Washington, DC 20208
Cost: $9.50.

SOURCE:

Lezotte, Lawrence W. and Michelle L. Maksimowicz, Workbook for Developing a District Plan for School Improvement, based on the Effective Schools Research, 1989, 113 pages, Michigan Institute for Educational Management.

SUMMARY:

This workbook has been designed to accomplish two goals. First, it describes a process by which a collaborative group of teachers, administrators, and others can develop a plan for school improvement for their local district. Second, it also incorporates a building-based model by which the aims and goals of the district's long-range plan can be implemented and sustained.

The Effective Schools/School Improvement Model is base on a collaborative approach to school improvement. It is recommended that the superintendent appoint a coordinating committee consisting of central office personnel, building level administrators, teachers, and others, and that this group be empowered with the responsibility for addressing the components to be included in the district plan.

This district team should have the commitment and support of the board of education and be charged with arriving at a District Plan for School Improvement

based on the basic premise that all students can learn. The team will be responsible for overseeing the impoementation of the plan and the monitoring and ongoing evaluation of the school improvement process.
Each of the eleven chapters in this workbook includes a description of a key component of the District Plan, examples of the component, and worksheets for team members to use in drafting the district's plan.

HOW TO ORDER:

Effective Schools Products
PO Box 476
Okemos, MI 48864
(517) 349-8841
Price: $25.00

SOURCE:

Mid-Atlantic Consortium for Community Education, Effective Schools: A Guide for School Boards, Central Office Administrators, Principals, Teachers, Parents, and Community Educators, University of Virginia, October 1984, 47 pages.

SUMMARY:

This publication contains a series of "role guides" which address the issue of effective schooling from six different role group perspectives -- school boards, administrators, principals, teachers, parents, and community educators. The six papers discuss how each particular group can contribute to schools that are striving to become academically effective for all children.

The report concludes that any school can develop a climate in which everyone in the school believes that each student can learn and master basic skills, and with proper planning and leadership, all students can perform at a high level of academic achievement. The development of an effective school requires a firm commitment, a detailed planning process, strong leadership and the full cooperation of administrators, teachers and parents over a period of several years.

SOURCE:

Network for Effective Schools, Expecting The Best: Effective Public Education For All Students, 1987, 16 pages.

SUMMARY:

This publication reports on a survey undertaken by the Network for Effective Schools of its 300 members from all parts of the country. The members were asked to list the ten most vitally needed reforms in American education. What emerged from the study was a list of eleven recommendations from the perspective of practicing effective school educators -- persons who have both experience and knowledge of effective schools research and practice.

The study is reprinted in the February 1987 issue of The Effective School Report, which includes the list of eleven reforms recommended.

HOW TO ORDER:

The Network for Effective Schools
c/o The Kelwynn Group
Grand Central Station Box 2058
New York, NY 10163
800/874-9740
$2.00 plus 95 cents for shipping and handling.

SOURCE:

Wilson, Bruce I. Wilson and Thomas B. Corcoran, Places Where Children Succeed: A Profile of Outstanding Elementary Schools, Research for Better Schools, August 1987, 63 pages.

SUMMARY:

In October, 1985, Secretary of Education William J. Bennett proclaimed 1985-86 the "Year of the Elementary School," and launched the Elementary School Recognition Program, inviting the chief school officer in each state to nominate elementary schools for possible recognition. A total of 525 schools were nominated, site visits were made to 257 of them, and 212 were designated as "outstanding."

The researchers identified 7 commonalities what characterize the recognized elementary schools.

1) Their central mission is providing academic instruction.
2) The schools reflect a high level of expectation; they set and enforce high academic and behavioral standards and make high work demands upon students.
3) Visionary leadership is central to organizational success.
4) The climate in these schools reflects participation in decision making, teacher autonomy, a sense of shared purpose, an adequate physical site, and treatment of others with respect, dignity and recognition.
5) The recognized schools take full advantage of all their resources - human and material.

6) They exhibit a strong communications system between the school and the community.
7) The schools live by a "can-do" attitude about their work.

HOW TO ORDER:

Research for Better Schools
444 North Third Street
Philadelphia, PA 19123
Price: $19.95

SOURCE:

Wilson, Bruce I. and Thomas B. Corcoran, Successful Secondary Schools, 1988, 192 pages, The Falmer Press, New York.

SUMMARY:

This book is based on information collected over the course of 3 years, 1983-1985, from secondary schools identified as unusually successful by the U.S. Department of Education. The author's analysis identifies the characteristics associated with school success, which fall into six clusters or themes:

- active leadership
- professional work environments
- positive learning environments
- broad community involvement
- continuous school improvement
- service to all students.

Chapter 1 reviews the research literature that addresses factors affecting success in secondary schools. Chapter 2 describes the data from the 571 high schools, junior highs, and middle schools; and Chapter 3 contains a statistical profile of the schools. The heart of the book is contained in Chapters 4 through 9, which discuss the six characteristics listed above and provide examples and illustrations of how they are implemented or exemplified in the schools. The final chapter discusses the implications of these success stories for policy-makers.

The primary lessons of this book are that the energy, commitment, and vision of the professionals working in these schools are central to their success and that their successes can be replicated by others who are willing to dedicate themselves to a similar pursuit of excellence.

IV. Magazine and Journal Articles on School-Based Management

SOURCE:

David, Jane L. "Synthesis of Research on School-Based Management," Educational Leadership, May 1989, pp. 45 - 53.

SUMMARY:

This article reviews the research on school-based management and draws the following conclusions:

- School faculties make different decisions about elements of staffing, schedules, and curriculum when they are given actual control over their budgets and relief from restrictions.

- Teachers report increased job satisfaction and feelings of professionalism when the extra time and energy demanded by planning and decision making are balanced by real authority; conversely, marginal authority coupled with requirements for site councils, plans, and reports results in frustration.

- School-based management affects the roles of district as well as school staff; to change their roles and relationships, teachers and administrators need extra time and a range of opportunities to acquire new knowledge and skills.

- The leadership, culture, and support of the district have a far greater impact on the success of school-based management than its operational details.

- Implementing school-based management involves a lot of pieces and takes a long time, from 5 to 10 years; it is premature to pass final judgment on districts in the early stages.

HOW TO ORDER:

Association for Supervision and Curriculum Development
1250 N. Pitt Street
Alexandria, VA 22314
Price: $4.00 for past issues of Educational Leadership

SOURCE:

Guthrie, James W. "School-Based Management: The Next Needed Education Reform," Phi Delta Kappan, December 1986, pp. 305-309.

SUMMARY:

This article begins with the opinion that "Unless policies are identified that unleash productive local initiatives, the reform movement [for more effective schools] seems likely to lose its momentum." The author explains the tensions existing between state and local level personnel which erupted in the search for school reform. He then presents School-Based Management as a potential solution to this conflict, with the school becoming the "primary decision-making unit in an educational system." The SBM factors of principals functioning as "chief executive officers," school advisory councils, school-site budgeting and accounting, and annual planning and performance reports are explained. Following this is a section discussing the transition to and implementation of SBM.

SOURCE:

Harrison, Cynthia R., Joellen P. Killion, and James E. Mitchell, "Site-Based Management: The Realities of Implementation," pp. 55-58, Educational Leadership, May 1989.

SUMMARY:

In this article, the authors (administrators at School District #12 in Adams County, Colorado) give a brief history of their experience in impelementing site-based management. Next they identify their mistakes and the adjustments they made to remedy them.

- Mistake 1 - "we didn't clarify concepts at the outset."

- Mistake 2 - "we failed to stipulate...in advance the roles of central office staff and provide the necessary training and support for those new roles.

- Mistake 3 - "our failure to provide training in site-based management for school personnel and to offer the necessary on-site support to principals."

- Mistake 4 - "..lack of preparation for the realities of change. "Looking back over our experience, we now appreciate the complexity of change. Our process was not as smooth as we had hoped, and we wish we could have avoided the mistakes we made.....Through collaboration, conflict management, and continual reconceptualization, we are shaping our own version of site-based management. Out of our struggle, we are improving education for our students.

increasing professionalism among our staff, and increasing community participation in our schools."

HOW TO ORDER:

Association for Supervision and Curriculum Development
1250 N. Pitt Street
Alexandria, VA 22314
(703)549-9110
Price: $4.00 for single copies.

SOURCE:

Heller, Robert W., Beth E. Woodworth, Stephen L. Jacobson, and James A. Conway, "You like school-based power, but you wonder if others do," The Executive Educator, November 1989.

SUMMARY:

This article reports on the third annual survey of U.S. school executives, conducted by The Executive Educator and a team of researchers from the State University of New York at Buffalo. The topic of school-based management was included in this survey, and the results are briefly summarized in the article.

The position of respondents on the administrative ladder determines in large part the attitude and opinion toward school-based management. The closer the administrator to the building level, the more feasible and attractive is the idea. The survey showed that 96% of principals responding think that school decisions are best made at the building level, but only 80% of superintendents agree with this perspective. Of those responding, one-fourth reported that school-based management is in effect in their schools, 28% said it is in the planning stage, and the remainder say it's neither planned nor in effect.

SOURCE:

Herman, Jerry J., Series of four articles by on school-based management, NASSP Bulletin, September-December 1989.

SUMMARY:

1. "A Vision for the Future: Site-Based Strategic Planning," September 1989, pp. 23-27. Outlines the steps involved in developing a strategic plan at the site level and the importance of involving "stakeholders," "scanning the external and

internal environment" to identify trends, and monitoring the achievement of goals and objectives.

2. "Site-Based Management: Creating a Vision and Mission Statement," October 1989, pp. 79-83. Discusses the importance of developing a vision of what should be at some point in the future, and then preparing a brief mission statement that defines the focus and purpose of the school.

The four critical tasks are:

- Beliefs are enumerated and agreed upon.
- Critical Success Factors, those items that are absolutely necessary for the school to function in an exemplary manner, are identified.
- Scans are made of external variables that affect the school's operations.
- Scans are made of internal variables that affect the school's operations.

3. "External and Internal Scanning: Identifying Variables that Affect Your School," November 1989, pp. 48-52.

In this article the author discusses the importance of collecting data from inside and outside the school building to assist in identifying trends, arriving at projection, and targeting needs that must be met in the future.

The four major sources of internal data are:

- Student-related data
- School-climate-related data
- Finance-related data
- Human-resource-related data

External data include:

- Demographic-related data
- Finance-related data
- Attitude-related data
- Governmental laws, rules and regulations, and policy-related data

4. "A Decision-Making Model: Site-Based Communications/Governance Committees," December 1989, pp. 61-66.

The final article of this series emphasizes the desirability of involving representatives of all stakeholder groups in site-based planning. The author discusses the following questions:

- Why develop a communications/governance structure that empowers stakeholders at the school-building level?

- What are the potential advantages and disadvantages of creating this empowerment structure?

- What questions must be addressed?

- What format is best?

- What are the structure, duties, and responsibilities of building-level communications/governance committees?

- How will the degree of success of the empowerment structure be measured?

"Principals who firmly believe that site-based management is the way to improvement and who firmly believe that they can best improve the programs and opportunities for students by empowering stakeholder groups, should develop their building-level communications/governance structures to the fullest potential. What little principals may give up of their positional power has the potential of reaping a harvest of good will, understanding, and support for all the activities and plans that will make their school excellent."

SOURCE:

Kearns, David, " A Business Perspective on American Schooling," Education Week, April 20, 1988.

SUMMARY:

In this excerpt from his forthcoming book (with Denis Doyle), Winning the Brain Race: A Bold Plan to Make Our Schools Competitive, Mr. Kearns proposes a radical restructuring of our entire education system. "It is failing (our teachers and students) because schools are organized to meet the challenges of the 19th -- not the 21st -- century." The six point program includes allowing parents more choice in the schools their children attend, restructuring school organization, fostering professionalism among teachers, raising academic standards for students, teaching the values of American democracy, and clarifying the federal role in education. In particular, he recommends that the central school district office should be run as a service center, not as a command post. Large, complex, and creative organizations need to be "choreographed" not run. The job of the superintendent is to find good people, set goals, hold people accountable, reward good performance, correct problems, and STEP BACK.

He further argues that the building principal is the most important person in the education chain of cause and effect. No one is the district except the Chief Executive sho ild make more money than a principal. All major decisions about budget, hiri:g, and firing should be made by principals and teachers at their own schools.

SOURCE:

Kirst, Michael W., "Who Should Control Our Schools?" Education Policy, January 1988.

SUMMARY:

This is an informative discussion about the recent trends centralizing decisions in American public education. Kirst argues that much of the recent reform effort has resulted form a loss of confidence in the local capacity to maintain high academic standards and has led to tremendous growth in state control.

He cautions that the reasons for a predominance of local control over education are still sound and that the health and vitality of local schools depend on their ability to be responsive to the communities they serve. He recommends a thorough rethinking about which level of education should control what, with the goal of setting broad standards at the state level and giving local boards the authority to implement those standards in keeping with local circumstances. He further argues for moving major decisions on personnel and budget to the school site. Included are recommendations for the proper role and activities of state and local boards of education.

SOURCE:

Kolderie, Ted, "School-Site Management -- in Britain," Public Service Redesign Project, Humphrey Institute of Public Affairs, University of Minnesota, 6/88, 8 pages.

SUMMARY:

This paper includes a brief description of the British educational system and a summary of the education bill currently under consideration, which is intended to bring about school reform. A major feature of the proposal is to shift financial and administrative authority from the local education agency to the board of governors of each school. The governors may choose to withdraw from the LEA and operate as a free-standing unit, receiving financial aid from the central government. The bill also provides for increased parent rights to choose the school their child will attend.

SOURCE:

Kolderie, Ted, "School-Site Management: Rhetoric and Reality," Humphrey Institute of Public Affairs, 12 pages, April 1988.

SUMMARY:

This paper begins with the statement, "Almost unique among the proposals for improving education, school-site management seems to have no opponents." The author notes that researchers, parents, state departments of education, foundations, teachers' organizations, school boards, and superintendents are expressing support for this idea.

But when one tries to define school-site management, one finds many different meanings for the term. The author of this paper tries to identify the different ideas presented and represented as school-site management. He tries to explain the resistance to the real delegation of authority to the school. And he reports on some new and hopeful ways in which that resistance might be overcome.

HOW TO ORDER:

Humphrey Institute
University of Minnesota
237 Humphrey Center
301 19th Avenue South
Minneapolis, MN 55455

SOURCE:

Malen, Betty and Rodney Ogawa, "Community Involvement: Parents, Teachers, and Administrators Working Together," Education Reform: Making Sense of it All, Samuel B. Bacharach, ed., Allyn and Bacon, Boston, 1990.

SUMMARY:

This interesting study of the shared governance system in Salt Lake City, Utah, finds that despite conditions "particularly conducive to substantial teacher and parent influence on school level policy," participatory decision-making arrangements "do not substantially alter the influence relationships typically...found in schools." The traditional pattern remains: "principals retain control over building-level policies; teachers retain control over the instructional component; and parents provide support."

The researchers identified several factors that worked against changing the status quo:

* Predisposition of participants

* Most council members joined because of a desire to be of service, not to change the schools.

* Positional power advantage of principals and professionals

* The professional educators used their "positional resources" (i.e. access to information, credentials) to protect their prerogatives

* Furthermore, they did not feel it was appropriate for parents to be involved in activities that promote or require power-sharing. "Parents shouldn't meddle" or "stir up problems that don't really need to be addressed," were common sentiments. Dependent on the professionals for both information and the right to be involved at all, parents tended to defer and to keep "the giver in control."

* Positional power advantage of principals. Principals are the ones "in charge." They make assignments, allocate resources, supervise employees. They also control the flow of information. This means they controlled the agenda, defined the issues, and ran the meetings. While teachers also had resources, they were not inclined to use them to counter the principal's influence. Instead, they were reluctant to "rock the boat" or be labeled as a "troublemaker."

* Strength of ingrained norms. "In some situations, norms can nullify policies." In Salt Lake City, two norms "numbed" the provisions of shared governance: propriety on issues and civility in interactions. Participants were expected to be "pleasant," "harmonious," "agreeable," and "civil." Disagreements were seen as personal affronts. Dissenting views were "squelched."

* District oversight and support. The district, although it passed a promising policy, provided support only modestly and intermittently. The district also did not intervene in schools not following the policy. This meant that the policies did not penetrate patterns of practice.

* Congenial culture, stable environment. Salt Lake City has a congenial culture, one that is mindful of authority and oriented to service.

The researchers conclude that before decentralization is widely prescribed as a promising strategy for school improvement, more research is needed on environmental factors that can bring about a change in school culture.

SOURCE:

"Management and Decision-Making: How They're Changing," Chapter 5, pages 25-33, in The Business Rountable Participation Guide: A Primer For Business on Education, 1990, 83 pages. Developed by the National Alliance of Business.

SUMMARY:

This chapter examines how decentralization and school-based management will require major changes in state and district roles. State legilators will need to ease legal requirements on schools; state union representatives must be willing to adjust work requirements and be creative in contract negotiations. School districts must shift emphasis from controlling what goes on in the schools to assisting schools in solving their problems. Changes in roles will also take place at the school site. Principals and teachers must learn to share decision-making with school councils.

As principals and teachers make decisions over what happens in their schools, the more the public expresses interest in having a choice over which school their child might attend. Choice would appear to be a logical extension of school-based management. When combined with school-based management, choice can help make schools different and distinctive, and encourage parents to take an interest in their children's education.

The section on "Issues and Obstacles" includes a discussion of how to move from rhetoric to reality, the critical role of training and development, the difficulty in measuring results and accountability when school-based management is implemented, the need to hire more personnel so that teachers and administrators are given time to work on school-based management, and the potential conflict with emerging stronger state and federal roles.

Based on its own experiences in restructuring, business can often play an important role both in helping school systems take the steps necessary for decentralization and in assuring that the proper supporting steps (e.g. human resource development, accountability systems, budgeting) are in place.

HOW TO ORDER:

The Business Roundtable
200 Park Avenue
New York, NY 10166
(212) 682-6370

SOURCE:

NASSP Bulletin, September 1989, pages 1-63.

SUMMARY:

This issue of the BULLETIN is focussed on the subject of School-Based Management and includes the following articles:

"An Overview of School-Based Management: What Does the Research Say?" by Paula A. White

The writer examines the recent literature on school-basedmanagement and analyzes its key objectives, benefits, and limitations.

"Building-Based Instructional Improvement: The Principal as an Instructional Leader," by J. Merrell Hansen and Rosemarie Smith.

Here's how one school district has incorporated instructional leadership into the expectation and the role of the principal. The results, according to these writers, are impressive.

"Theory-Based Decision Making: A Survival Tool for Principals," by Grant Hendrickson.

Principals face the difficult task of sorting through the many conflicting demands for change, says this writer, who suggests some ideas on theory-based decision making.

"A Vision for the Future: Site-Based Strategic Planning," by Jerry J. Herman.

The steps involved in developing a strategic plan at the site level and the importance of scanning the external and internal environment to identify trends that affect the school are discussed.

"The Assistant Principal's Responsibility in School-Based Management Systems," by Molly J. Clemons.

As increasing numbers of school districts establish school-based management systems, assistant principals will, of necessity, be assigned more responsibility.

"A Sensible Approach to Solving Problems in Schools," by Ronald E. Etheridge.

The best decisions made by principals are those reached through open and frequent communications with central office administrators, teachers, parents, and citizens.

"School Principals: The Emerging Community Heroes as the 1990s Unfold," by Robert E. Wentz.

This writer, an enthusiastic advocate for site-based management, has some strong opinions on the role of the principal as an instructional leader.

"Synergistic Curriculum Development: An Idea Whose Time Has Come," by Raj K. Chopra.

Site-based management is clearly the wave of the future in education, says this writer, who explains how the approach works in his school system.

"Managing Change and School Improvement Effectively," by Joseph F. Lagana. Teacher and principal empowerment and risk taking have great potential for facilitating significant and long-lasting school improvement. Empowerment means loosening control over what people do, but gaining a wider span for control over information and outcomes.

"The Case for Collaborative, Versus Negotiated, Decision Making," by Frank Ambrosie.

The essence of shared decision making is to establish a process of decentralization related to the working relationships among professionals, says this writer, who believes that collective bargaining is antithetical to the conceptual foundations of participative decision making.

"The Role of Teachers in Educational Reform," by Brother Eagan Hunter.
This writer, with 29 years as a secondary school administrator behind him, shares his reflections on how out schools must be restructured to meet tomorrow's needs.

HOW TO ORDER:

National Association of Secondary School Principals
1904 Association Drive
Reston, VA 22091
(703) 860-0200
Price: $7.00 for single copy of NASSP BULLETIN

SOURCE:

Neal, Richard G., "School-based management lets principals slice the budget pie," The Executive Educator, January 1989.

SUMMARY:

The author of this article is director of school-based management for the Prince William County, VA, Public Schools. He argues that the move to school-based management in his district, under the leadership of Superintendent Edward Kelly, is the best hope for improving the schools.

Neal provides an outline of the steps taken since 1987 to design and implement the new approach, including the formation of a task force which recommended a two-year pilot program in vie schools. Since then, the superintendent has mandated that all 56 of the county's schools will move to school-based management. The pilot program taught the following lessons:

- Make a firm commitment.
- Seek out a qualified consultant.
- Be willing to accept mistakes.
- Recognize that collective bargaining changes the rules.
- Outline the central office's role.
- Accompany autonomy with accountability.

FOR MORE INFORMATION:

Richard G. Neal
Prince William County Public Schools
PO Box 389
Manassas, VA 22110
(703)791-8707

SOURCE:

Provenzo, Eugene F., Jr. "School-Based Management and Shared-Decision Making in the Dade County Public Schools," Chapter 10, pp. 146-163 in Allies in Educational Reform: How Teachers, Unions, And Administrators Can Join Forces for Better Schools, by Jerome M. Rosow and Robert Zager. 1989. A Work in America Institute Publication, Jossey-Bass Publishers.

SUMMARY:

This comprehensive discussion of the School-Based Management - Shared-Decision Making Program in Dade County traces the origins of the reform

back to 1971, when a Citizen's Committee on Education, appointed by Governor Reuben Askew, recommended actions which formed the core of what is now known as SBM/SDM.

The role of the teachers union in the development of SBM/SDB is discussed; the cooperation and collaboration of teachers with Superintendent Joseph Fernandez' proposals for school-based management resulted in necessary waivers to the existing union contract on a school by school bases, and the expansion of the professional role and status of teachers. Greater teacher and community involvement have been key elements in the success of the SBM/SDB program.

The author describes a number of innovations which are being tried in Dade County, along with SBM/SDM: Satellite Learning Centers, Saturday Morning Schools, the Dade Academy of the Teaching Arts, the Partners in Education Program, and the Teacher Recruitment Internship Program.

HOW TO ORDER:

Jossey-Bass Publishers
PO Box 44305
San Francisco, CA 94144

SOURCE:

Radius, A Publication of The AFT Center for Restructuring, Vol. 1, No. 1, May 1988.

SUMMARY:

This is the first issue of a publication which focuses on issues and ideas currently being explored in restructuring efforts. The topic under discussion in this issue is school-based management.

The feature article summarizes the literature and reviews current programs to attempt to answer the following questions about school-based management:

- What is it?
- Does school-based management require shared decision-making?
- Does school-based-management promote learning?
- Are there problems when a district moves simultaneously to centralize and decentralize?
- What kinds of resources are necessary to effect SBM/SDM?
- How long does it take for SBM to be put in place?

The discussion is summarized in this way:

1. School-based management will more likely meet its goals when it is couple with meaningful shared decision-making.

2. The goal of enhanced student learning is an indispensable precondition for considering SBM/SDM.

3. To insure that student learning is enhanced, it is necessary to enumerate the kinds of decisions to be considered at the school level (the use of multiple instructional strategies, scheduling, etc.)

4. Simultaneous attempts to centralize and decentralize can result in conflict (as in curriculum and testing decisions) which can be managed if planned for in advance.

5. Additional time and resources are items most often clamored for by staffs implementing SBM/SDM.

6. An evolutionary approach (over at least five years) to SBM/SDM is more likely to succeed than one mandated for implementation in a short period of time.

7. SBM/SDM is one piece of the restructuring puzzle and so should be considered in relation to other pieces (assessment and curriculum, for example). In addition to a bibliography of references on school-based management, a list of resource people and organizational projects concerned with restructuring is included.

HOW TO ORDER:

Bruce Goldberg, Assistant Director
Educational Issues Department
American Federation of Teachers
555 New Jersey Avenue, N.W.
Washington, DC 20001
(202)879-4559

SOURCE:

Raywid, Mary Anne, "Rethinking School Governance," Chapter 6, pages 152-205, in Restructuring Schools: The Next Generation of Educational Reform, by Richard F. Elmore and Associates, Sponsored by the Center for Policy Research in Education, 1990, Jossey-Bass Publishers.

SUMMARY:

In this chapter, the author presents an interesting discussion of the two broad strategies for accomplishing changes in authority and governance patterns in the schools. One is to return authority to the school and democratize its exercise (school-based or site management). The other looks to individual empowerment by giving teachers the right to choose or develop the program with which they are associated, and families the right to select the school that best suits them and their children -- schools of choice concept.

The author then goes on to examine how each of these two major reorganization proposals might respond to the four aspects of the public schools under attack by critics:

(1) an unacceptable conception of the school's mission;
(2) a stultifying social order within the school;
(3) a counterproductive distribution of roles and functions among the players; and
(4) an inappropriate decision-making structure.

"Site management enjoys an important advantage....It promises decentralization and debureaucratization, which have been major demands made by school critics in the interest of ending a variety of ills...The choice proposal also has distinct advantages. It is a package combining curricular, instructional, organizational and governance change in one proposal. Thus, to introduce choice is to launch an effective catalyst for a number of changes in school organization and program... Choice also offers full and immediate empowerment to all associated with a school by bringing them there in the first place and by enabling them to leave if they wish to do so.

"There is reason, then, to find promise in both of these proposals to restructure the way schools are governed and controlled. Either might help bring schools into better -- that is, more appropriate and more productive -- adjustment with their environments."

This chapter concludes with an extensive list of references on all aspects of change, restructuring, and school reform.

HOW TO ORDER:

Jossey-Bass Publishers
PO Box 44305
San Francisco, CA 94144
Price: $28.95.

SOURCE:

"School-Based Management: A Strategy for Better Learning," 18 pages, 1988. American Association of School Administrators, National Association of Elementary School Principals, and National Association of Secondary School Principals.

SUMMARY:

This 18-page pamphlet provides concise answers to the following questions:

- What is school-based management?
- Why are school districts adopting school-based management?
- How is school-based management related to "Empowerment"?
- Which decisions will be made at the school level? Which at the district level?
- What is the role of principal? Of others?
- What is required to implement school-based management?
- What are the steps to take?
- What are the obstacles?

"Schools need continually to seek the best fit between students and their learning environment. To reach this goal, individual principals and teachers require the flexibility that local decision making provides and the professional commitment that comes from having a hand in significant school-level decisions.

School-based management is a strategy whose time has come. It weds the best thinking about modern management with the need to professionalize teaching. The result will be an enriched climate both for educators and for students...and better learning for all our nation's students."

HOW TO ORDER:

NAESP Ed Products Center
National Association of Elementary School Principals
1615 Duke Street
Alexandria, VA 22314
(703) 684-3345
$1.75 per copy; discounts for bulk orders.

SOURCE:

Sirotnik, Kenneth A. and Richard W. Clark, "School-Centered Decision Making and Renewal," Phi Delta Kappan, May 1988, pp. 660- 664.

SUMMARY:

School based management has as many variations in practice as it has school districts implementing it. The authors argue that the term "management" implies a broad spectrum of activities, many unrelated to instruction, and that the term "based" implies that the school makes all its own decisions. They recommend instead an understanding that schools should become "centers" of decision making and renewal within a broader context of resources and constituencies.

What this concern addresses is the need for schools to be major arenas for professional inquiry and reflective practice. Most theories of reform look at schools instead as targets for change, importers of expert, "teacher-proof" knowledge. Those who work in the schools make vital decisions every day about the instructional program. Schools should be organized so that teachers and administrators have adequate time to engage in critical inquiry about what they are doing.

"The ultimate power to change is -- and always has been -- in the heads, hands, and hearts of the educators who work in the schools. Decisions must be made where the action is."

SOURCE:

Stauber, Sandra K., Sara Stanley, and Carl Wagenknecht, "Site-Based Management at Central-Hower," Educational Leadership, April 1990.

SUMMARY:

During the past five years, teachers and administrators at Central-Hower High School in Akron, Ohio, struggled with a number of questions about how to do school-based management. This article addresses three of these questions:

- What organizations structures will provide for the broadest participation by staff members?
- What procedures will ensure responsiveness, fairness, and efficiency?
- How is the role of the principal affected?

"We do not claim to have figured out all the answers; indeed we recognize that many questions lie ahead. But our rising student achievement scores and our own sense of joy in our accomplishments have us convinced we are heading in a good direction."

FOR MORE INFORMATION:

Robert Harvey, Principal or Julie Studer, Faculty Senate Chairperson
Central-Hower High School
123 S. Forge Street
Akron, OH 44308

V. Books, Reports, and Studies on School-Based Management

SOURCE:

Bureau of Labor-Management Relations and Cooperative Programs, Participatory Leadership: School and the Workplace, U.S. Department of Labor, 1990, 29 pages.

SUMMARY:

This publication was prepared to report on some of the ideas exchanged at a May 1989 conference sponsored by the American Federation of Teachers' Center for Restructuring in cooperation with the U.S. Department of Labor, the American Association of School Administrators, and the National Alliance of Business. Represented at the conference were local school boards, teachers, labor unions, superintendents, principals, government agencies, and private corporations. The four sections of this publication are entitled "Participatory Leadership in the Public Schools....Why? Where? How? When?" The "Summary and Recommendations" section lists several themes which recurred throughout the conference:

- The nation can't afford another generation of children whose achievements fall short of their abilities.

- While good models of school-based change exist, it is more important to make a reasoned beginning than to strive for perfection in a comprehensive plan.

- In order for meaningful improvement to take place in educational achievement, systemic change must occur in the subsystems.

- The ultimate goal of educational change is improved student performance.

- Improving student achievement requires all of us to seek ways of diminishing traditional adversarial relationships, concentrating instead on the interests we share in common.

- The labor-management relationship can be an important vehicle for change within public education.

- The support of outside stakeholders--parents, community organizations, business, and State and federal governments--are essential to systemic reform.

- The importance of assuring the involvement of school-level administrators in new forms of decision-making must be emphasized.

- Changes at the school level need to be supported at the system level, particularly through the removal of bureaucratic impediments to change.

- Investment in human resource development is essential to the process of restructuring schools.

- Although resources will be needed for training in new forms of decision-making, and time will have to be made available for group processes, restructuring efforts need not involve an unending supply of additional funds.

Appendix II presents a chart depicting the reforms undertaken by eleven school districts and listing the mechanisms created to bring about the changes.

HOW TO ORDER:

Superintendent of Documents
U.S. Government Printing Office
Washington, DC 20402
BLMR 138, 1990
GPO Stock Number: 029-011-00016-8
Price: $2.00

SOURCE:

Campbell, Patricia, School Based Management Project - School Site Council Assessment Report, June, 1985, 21 pages, Campbell-Kibler Associates.

SUMMARY:

The school-based management project is an effort of the Boston Public Schools to improve student learning. As a part of SBM, each school forms a School Site Council to identify goals and objectives for that school. This assessment focused on School Site Councils, with an emphasis on their effectiveness and the roles they play in the school.

The overall conclusion of the report is that School Site Councils have been effective in bringing more people into the school decision making process and in providing schools with a vehicle for school wide planning and individual program implementation. The study also examined School Site Council roles, parent involvement, school autonomy, and school improvement.

HOW TO ORDER:

Campbell-Kibler Associates
107 W. 82nd St., Suite 5B
New York, NY 10024
212/580-8469

SOURCE:

Citizens Education Center Northwest, Improving Schools One by One Through School Based Management, 1986, 44 pages.

SUMMARY:

This booklet is a concise, well written introduction to the concept of school based management, to assist parents, principals, teachers, and students in understanding the issues and learning about the process of establishing an effective way to work together at the local school level.

The Table of Contents provide an accurate summary of what is included in this report:

- The Dozen Questions Most Frequently Asked
- A Case Study in School-Based Management
- Eight Pitfalls to Avoid
- Nine Actions Needed for Success
- Parents as Partners
- A School-Based Management Philosophy
- Comparing Points of View
- How to Get Started

HOW TO ORDER:

Citizens Education Center Northwest
105 South Main Street, Suite 327
Seattle, WA 98104
206/624-9955
Price: $4.50

SOURCE:

Clune, William and Paula White, School Based Management: Institutional Variation, Implementation, and Issues for Research, Center for Policy Research in Education, Eagleton Institute, Rutgers University, July 27, 1987.

SUMMARY:

This study is based on approximately 30 interviews with educators from school districts practicing some form of school based management (SBM). The questions focused on institutional structure, changes in the roles of key players, and implementation.

While the philosophy of SBM programs across the country seems similar, the organization and operation of programs is diverse. Of the three major elements to be decentralized, districts seem most readily to decentralize budget, then hiring, then curriculum. It also appears that SBM programs are more common and easily implemented in smaller districts. Most are initiated by Superintendents, although state law and court-ordered desegregation plans are another impetus.

The key player in SBM programs is the principal, who acts as instructional leader, mediator of shared governance, site manager, and the focus of accountability. Superintendents, once the process is in place, can provide either support or disruption. SBM does not seem to be operating as a system for teacher governance, although it seems that teachers generally have better access and more influence over decisions about school improvement.

Nearly every program uses SBM councils as the decision-making vehicle. Composition and selection vary. The principal usually serves, but not necessarily as the chair or even a voting member. Teachers, parents, and community people are often members; less common are students and representatives of special groups.

Participants say that SBM enhances both accountability and autonomy, and that lines of responsibility are clearer. They do not see state and district regulation as an obstacle to site autonomy, because they emphasize objectives rather than process. Communication with parents and students seems to improve, through the SBM council mechanism.

Implementation problems revolve around the unfamiliarity of SBM roles. Principals and teachers may lack the disposition or training for shared decision making, and time and resources may not be available for training and staff development. Systematic monitoring of SBM is rare, whether of student achievement or other outcomes. Further research is needed on the impact of varying degrees of decentralization, teacher participation, models for training and

administrator selection, factors responsible for long term success, and possible conflicts with state and local regulations.

HOW TO ORDER:

Center for Policy Research in Education
Eagleton Institute
Rutgers University
New Brunswick, NJ 08901
$4.00

SOURCE:

Dade County Public Schools, School-Based Management/Shared Decision-Making - A Pilot Program, October, 1987, 213 pages.

SUMMARY:

The Dade County Public School system has had various types of school-based management procedures in operation since 1974. During the 1985-86 school year a committee made up of principals and other administrators reviewed the concepts of school-based management from a different viewpoint, utilizing various materials which dealt with the professionalization of education and of teaching. The development of the pilot program by this committee was approved by the School Board of Dade County, Florida, in July, 1986.

This report contains documents and materials related to the pilot project now in progress. Included are a summary and principles of school-based management; requests for proposals to schools who wish to participate in the pilot program, a discussion of budget procedures under the school-based system, outlines of a documentation process and an evaluation plan, and many other practical documents which can be used by a school system in their efforts to implement a school-based management system.

SOURCE:

David, Jane L. and Susan M. Peterson, Can Schools Reform Themselves? A Study of School-Based Improvement Programs, 1984, 96 pages, Bay Area Research Group, Palo Alto, CA 94303, 415/493-4425.

SUMMARY:

This document reports on a study of school-based improvement programs, to assess their progress in bringing about instructional improvement, especially for

disadvantaged students. The report traces the evolution of school-based approaches, as the emphasis of school reform efforts shifted from the content of the reforms to the processes they require or foster.

The researchers studied six elementary school programs in 32 schools, representing 17 school districts and 7 states. The findings of the study are organized into five areas that deal with management and implementation of school-based programs: selection of schools, formation and functioning of school planning groups, development of written plans, uses of the plans, and program monitoring.

The findings presented demonstrate that schools are able to form planning groups, develop written plans, and implement changes. But these changes are typically noninstructional in nature; the report attempts to explain why the process rarely leads to changes in instructional practices. The report concludes with this paragraph: "The real promise of school-based reform lies in its potential to help school staff adapt to changing circumstances. To the extent that school-based programs continue to move in the direction of fostering ongoing attention to instructional improvement and providing support and assistance to teachers, their promise can be realized."

HOW TO ORDER:

ERIC Documents Reproduction Service
3900 Wheeler Ave.
Alexandria, VA 22304
ED 262119

SOURCE:

Greenhalgh, John, School Site Budgeting: Decentralized School Management, University Press of America, Inc., 1984, 193 pp.

SUMMARY:

Most school budgets are finalized deep within a district's central bureaucracy. A process more responsive to human needs assigns funds to individual schools on a per capita basis and leaves decisions about their expenditure up to the principal, teachers, and parents. Learn how to propose school-site budgeting to your superintendent and local school board. There can be advantages for all.

This "how-to" book provides an overview of activities that are locally planned and carried out within a school building. The author proposes a plan to improve school management in which all planning decisions are distributed to local school building administrators as opposed to central districts. It shows how this

decentralized arrangement allows each school to decide how to maximize educational opportunities geared toward the particular needs of the students.

HOW TO ORDER:

University Press of America, Inc.
4720 Boston Way
Lanham, MD 20706
301/459-3366
$10.75 per copy.

SOURCE:

Hansen, Barbara J. and Carl L. Marburger, School Based Improvement: A Manual for District Leaders, National Committee for Citizens in Education, 1988, 95 pp. looseleaf.

SUMMARY:

School Based Management is sweeping the country as part of a second wave of school reform focused not on states, but on individual schools. This is a step-by-step guide based on ten year's experience training councils and district staff in the processes needed to initiate school based improvement. This manual can be used by district leaders who want to begin this process themselves. The package includes 11 reproducible overheads for group presentations and a copy of One School at a Time, Carl Marburger's classic work on School Based Management.

Two more manuals will be published by NCCE as part of this series, one for district staff on how to facilitate and manage the SBI process, and one for school teams and councils on how to do their job effectively. The projected publication date is June, 1989.

HOW TO ORDER:

National Committee for Citizens in Education
10840 Little Patuxent Parkway, Suite 301
Columbia, MD 21044
301/997-9300
$35.00, Item #NC9043.

SOURCE:

Hansen, Barbara J. and Carl L. Marburger, School Based Improvement: A Manual for Training School Councils, 1989, 277 pp. looseleaf, National Committee for Citizens in Education.

SUMMARY:

This manual is intended for use by central office staff and others to train an effective school governing council composed of parents/citizens, school faculty members and school principal.

The manual contains:

- an overview of school based improvement and the functions of school site councils;
- suggestions for training designs; and
- nine training modules.

The nine modules tell how to hold effective meetings, build a strong team, assess needs, set priorities, analyze problems and solve them. Each module includes detailed notes for one or two "mini-lectures," 2-7 reproducible handouts of material related to the topic, sample visuals that can be used as overhead transparency masters or transferred to flip chart pages, and directions for using the materials. These materials can also be reorganized to fit the needs of specific councils.

If working with groups that have been in existence for some time, the user may want to pinpoint what their problems are and devise a training schedule that addresses those first. When working with newly formed groups, it is better to teach the planning model in sequence -- identifying issues before setting priorities, etc.

This notebook is the companion to School Based Improvement: A Manual for District Leaders.

HOW TO ORDER:

National Committee for Citizens in Education
10840 Little Patuxent Parkway, Suite 301
Columbia, MD 21044
(301) 997-9300
Price: $39.95 plus $2.00 for postage and handling.

SOURCE:

Marburger, Carl, One School at a Time: School Based Management, A Process for Change, NCCE, 1985, 82 pages.

SUMMARY:

School policy and budgeting decisions directly strengthened by teachers, parents and principals - that's School Based Management, the focus of One School at a Time.

In One School at a Time, Marburger:

- defines School Based Management,
- weighs its pros and cons,
- cites examples of its success, and
- provides recommendations for implementation.

According to the author, "School Based Management is a process for change based on democratic principles and trust. As more control is given to the school and community, public confidence in the schools increases, problem identification and solution become more timely and accurate, and the needs of the students are more likely to be met."

The process is based on building trust between educators and the community. Working together on a school site council, school principals, teachers and parents learn to share decisions ranging from instruction and finance to personnel and safety.

HOW TO ORDER:

National Committee for Citizens in Education
10840 Little Patuxent Parkway, Suite 301
Columbia, MD 21044
$6.95 for softcover, $12.95 hardcover, plus $2.00 for postage and handling.
ISBN 0-934460-25-6, Item #NC9036.

SOURCE:

National School Public Relations Association, School-Based Management Communication Workshop Kit, 1989, 46 pages, looseleaf.

SUMMARY:

"This kit is written to help the local school principal or the district superintendent implement a process that involves the individuals directly responsible for implementing decisions in actually making those decisions. The bottom line is to improve instruction for all students."

This publication includes:

- Information on what school-based management is and is not.
- A model for developing a communication process that is vital to the success of any school-based management program.
- A description of the process of school-based management, including a variety of assessment tools and other planning techniques.
- A description of some of the most common obstacles to successful school-based management, including models from districts that overcame them.

The kit contains twelve worksheets, which are also provided in camera-ready format in the front pocket of the notebook. These worksheets and the process outlined will help establish a school-based management process for a local school or district; identify those publics who should be represented; assist the group in establishing goals and activities on which they can reach consensus; build a team concept; and assure a two-way communication flow between the school and/or district and its publics.

HOW TO ORDER:

National School Public Relations Association
1501 Lee Highway, Suite 201
Arlington, VA 22209
(703)528-5840
Price: $79.00

SOURCE:

Puckett, Myron, School Council Almanac, 1982, 97 pages, looseleaf, San Francisco Center for Public Education.

SUMMARY:

California's School Improvement Program is now ready for transplanting to other parts of the country. Delightful illustrated guide tells you how to form a council that will get things done.

HOW TO ORDER:

San Francisco Center for Public Education
950 Clay Street, Suite 14M
San Francisco, CA 94108
$15.00 per copy

SOURCE:

Rosaler, Jean, How to Make the Best School Site Council in the World: A Guidebook for School Improvement Councils and Other School-Community Groups, 1979, 128 pages. Published by the California State Department of Education.

SUMMARY:

In 1973, the California State Board of Education adopted regulations requiring the establishment of a School Advisory Committee (SAC) in every school. With the passage in 1977 of Assembly Bill 65 mandating the School Improvement Program, the SAC was changed to a School Site Council (SSC).

This guidebook was prepared to assist parents and school personnel involved in school-site councils. Basic questions concerning councils are posed, and each question is answered with a number of specific practical suggestions to give the reader ideas and assistance. This book can be used to help a group get started and assist in solving problems as the group attempts to undertake school improvement activities.

The book is divided into four parts: Bringing the Right People Together, Getting Organized, Planning, and Carrying On. Within each part the topics are organized in very easy-to-use formats: Questions, Answers, and Tips; Worksheets; and checklists. This would appear to be a very useful manual for any school-community group.

SOURCE:

White, Paula A., "Resource Materials on School Based Management," Center for Policy Research in Education, Eagleton Institute, Rutgers University, New Brunswick, NJ 08901, July 1987.

SUMMARY:

This document contains a collection of information on school based management, and it is organized in three parts. Part A is a list of researchers and practitioners with knowledge and expertise on school based management. Part B is a list and summary of school based management programs throughout the country. Part C is an annotated bibliography of school based management. These materials have been collected for people who want to learn more about school based management generally, where school based management programs are operating, and whom to contact for more information.

VI. Organizations to Contact for Further Information

Center for Policy Research in Education
Eagleton Institute of Politics
Rutgers, The State University of New Jersey
New Brunswick, NJ 08901
(201) 828-3872

Humphrey Institute of Public Affairs
University of Minnesota
237 Humphrey Center
301 19th Avenue South
Minneapolis, MN 55455
Contact: Tel Kolderie

Institute for Responsive Education
605 Commonwealth Avenue
Boston, MA 02215
617/353-3309
Contact: Owen Heleen

Kettering Foundation
200 Commons Rd.
Dayton, OH 45459
513/434-7300

Effective Schools Products
PO Box 476
Okemos, MI 48864
517/349-8841
Contact: Lawrence Lezotte

The National Clearinghouse on School-Based Management
P.O. Box 948
Westbury, NY 11590
516/932-1631
Contact: Dr. James Lewis

National Community Education Association
801 North Fairfax St.
Alexandria, VA 22314
703/683-NCEA
Contact: Starla Jewell-Kelly, Director

National Committee for Citizens in Education
10840 Little Patuxent Parkway, Suite 301
Columbia, MD 21044
301/997-9300; 800/NET-WORK (638-9675)
Contact: Carl Marburger, Anne Henderson

Research for Better Schools
444 North Third Street
Philadelphia, PA 19123
215/574-9300
Contact: David Helms

Wisconsin Center for Education Research
University of Wisconsin - Madison
1025 W. Johnson St.
Madison, WI 53706
(608)263-4730
Contact: Dr. Kent Peterson

VII. Audio-Visual Materials on Effective Schools

SOURCE:

1. The Characteristics of Schools that are Instructionally Effective for All Pupils, by Ronald R. Edmonds, (1981), audiocassette, Association for Supervision and Curriculum Development, (612-20234).

2. Research on Effective Schools, by Lawrence W. Lezotte, 75 min. audiocassette, Assoc. for Supervision and Curriculum Development, (612-20368).

3. Research on Effective Schools and Effective Teachers: Strategies for Implementation in Local Schools, by Thomas L. McGreal, 70 min. audiocassette, Assoc. for Supervision and Curriculum Development, (612-20322).

SUMMARY:

Hear nation's foremost proponents of Effective Schools discuss a research-based plan to help every child learn. Tapes are based on presentations to other researchers. Rich in content, but academic in tone.

HOW TO ORDER:

Available from the Association for Supervision and Curriculum Development
225 W. Washington Street
Alexandria, VA 22314
$12.00 each; all three for $34.95.

SOURCE:

Videotape Presentations, prepared by Dr. Lawrence Lezotte
I - "Effective Schools: Premises, Concepts and Characteristics"
II - "The School Improvement Process"

SUMMARY:

Many practitioners do not have access to workshops or training sessions which provide information about the Effective Schools-based programs of school improvement. Even those who have attended workshops often subsequently feel the need to review and re-integrate what they learned at such sessions.

Effective School Products has prepared two videotape presentations that are a convenient way to make available a synthesis of the assumptions, the research, and the implementation strategies for Effective Schools. The videotapes offer practitioners the chance to learn about or review information they have received about the Effective Schools approach.

HOW TO ORDER:

Effective Schools Products
P.O. Box 476
Okemos, MI 48864
Each videotape costs $89.95; both videotapes are $169.00.

SOURCE:

A Three-Volume Video Series Implementing Effective Schools

ESV4: Implementing Effective Schools at the Secondary Level

ESV5: Implementing Effective Schools at the Elementary Level

ESV3: Questions Teachers Have About Implementing Effective Schools

SUMMARY:

Larry Lezotte and panels of elementary and secondary teachers discuss the questions and concerns faced by educators implementing the school improvement process. The discussions cover a wide variety of timely topics, such as teacher empowerment, site-based management, and school restructuring.

These video materials are designed to assist with initial planning for school improvement, as well as problem solving strategies for implementation.

HOW TO ORDER:

Effective Schools Products
PO Box 476
Okemos, MI 48864

ESV4 and ESV5: $137.50 each; Both tapes: $248.00 per set.

ESV3: $98.95 each.

Set of all three tapes: $340.00.